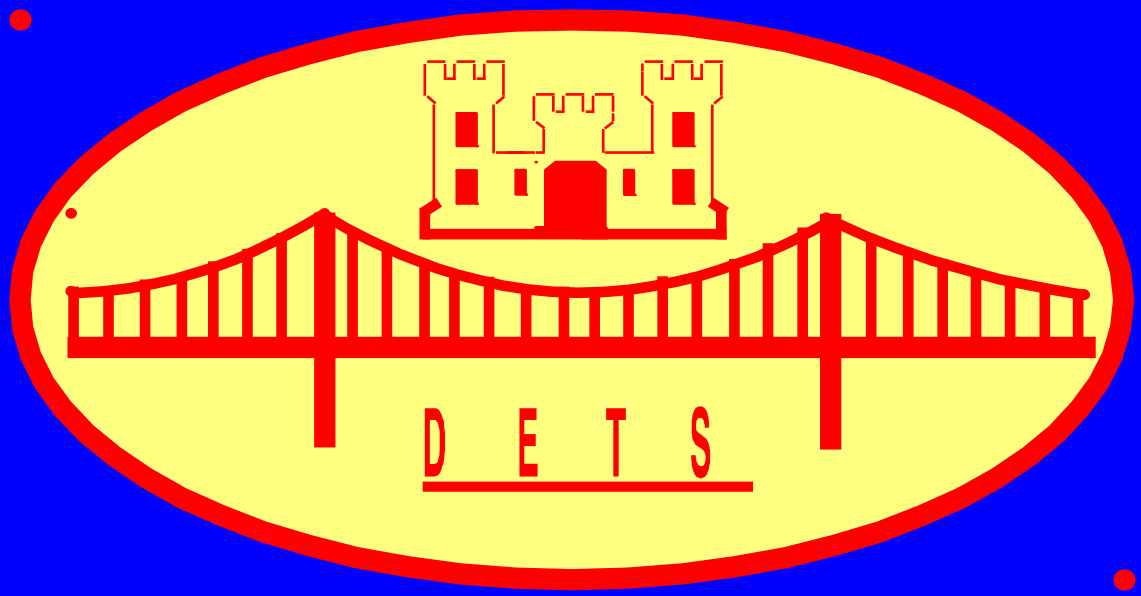
Planning Quality Managment



Planning
South Pacific Division

Quality Management Roles and Responsibilities

- **Normal Products**
  - District - Technical Quality Control
  - Division - Technical Quality Assurance
- **Contracted Products**
  - Contractor - Technical Quality Control
  - District - Technical Quality Assurance
  - Division - Quality Assurance Oversight

Quality Management Roles and Responsibilities

- **Policy Compliance**
  - HQUSACE - Quality Control
  - ASA(CW) - Quality Assurance
- **Delegated Authorities:**
  - District - Technical Quality Control
  - Division - Technical Quality Assurance
    - Policy Quality Control
  - HQUSACE - Policy Quality Assurance

Technical Review Strategy Session

- Basis for the Quality Control Plan
- Held early in the product development phase
- Should be combined with other initial formulation/scoping meetings
- May be waived by the Planning Chief

Quality Control Plan

- Review Objective (objective of the QC plan)
- Guidelines (standards for technical review)
- Roster of study team and technical review team
- List of documents to review (includes pre-conference documentation)
- Schedule for review activities
- Cost estimate
- Exceptions to the quality management plan
- Certified by Planning Chief

Independent Technical Review

- Review Team Members normally from the District
- Review Team mirrors the expertise of the study team
- Review Team Leader normally senior plan formulation expert
- Review Teams have included consultants, WES and IWR
- Technical Manager for a contract normally not considered independent
- Supervisor of a team member normally not considered independent
- Division program managers normally not on the review team
- Review by other districts preferred

Seamless Single Discipline Review

- Review of sub-products before use by study team
- Review recorded by memorandum
- Unresolved issues will be raised to the function chief by the review team leader

Product Review

- Interdisciplinary review by the review team
- Review and study teams meet to resolve issues
- Technical issues may be raised to SPD
- District function chief will decide on technical issues
- Policy issues will be forwarded to SPD
- Issue resolution conferences may be called by District or SPD

Independent Technical Review

Review will normally not be revisited (unless changes are made in final documentation or the results are causing the plan formulation process to produce unreasonable or inconsistent results)

Quality Control and the Planning Phases

Reconnaissance Phase

Feasibility Phase

Expedited Reconnaissance Study

- Verify/understand water resource problems
- Use existing, readily available data
- Coordinate with sponsor and Federal, State and local agencies
- Must be done with little detail and provide the best answer for time and money available
- Quality is defined as conformance to these agreed upon requirements

Reconnaissance Study Steps

- **Initiation**
- **Field Trip**
- **Scoping** (Brainstorming, Charrette)
- **Milestone Conference**
- **Complete the 905(b) Analysis**
- **Reconnaissance Review Conference** (Optional)
- **Complete Project Study Plan**
- **Negotiate FCSA**

Reconnaissance Quality Control

- Generic quality control/study plan
- Peer consultation (rather than review)
- Normal supervisory review
- Single planning expert
- Certification of the Section 905(b) Analysis and the PSP by the Chief of Planning
- PSP includes the Quality Control Plan for the Feasibility Study

Expedited Reconnaissance Phase Approvals

- The Section 905(b) Analysis is signed by the District Commander, and forwarded to HQUSACE by the Division
- HQUSACE approval is to ensure that the findings are consistent with current policies and budgetary priorities
- Approval of the PSP which includes the QC plan has been delegated to the District Project Review Board

Feasibility Phase

- The information from the feasibility phase must be adequate to base a financial decision on the project and meet NEPA requirements
- The level of detail is negotiable
- Quality is defined as conformance to the properly developed and agreed upon requirements

Feasibility Phase Sub-Products

- **F3 Documentation**
- **F4 Documentation**
- **AFB Documentation** - Planning Chief Certification
- **Draft Feasibility Report -** Planning Chief Certification
- **Final Feasibility Report -** District Commander Certification
- **Division Commander's Report and Notice**

Feasibility Milestone Conferences

Areas of Emphasis Include:

- Review of the PSP
- Review of Guidance Memorandums
- Establishment of Critical Assumptions
- The results of the Independent Technical Review
- Definition of issues for policy resolution
- Establish direction for next milestone

Feasibility Milestone Conferences

- Chaired by the District Planning Chief
- Interim study results presented by the Study Team
- Results of Independent Technical Review presented by Review Team Leader
- Includes Local Sponsor Participation
- SPD Participates for Quality Assurance
- Conference Memorandum signed by District Planning Chief

Feasibility Conference Number 1

The conference will review:

- refinement of existing conditions
- new assumptions for the without project condition
- results of additional public involvement
- problems and opportunities
- specific planning objectives and constraints
- evaluation of the preliminary plans

Feasibility Conference Number 1

- Serve as HQUSACE Feasibility Scoping Meeting
- The milestone will conclude with a consensus on the without project condition
- The milestone will mark the completion of the screening of preliminary plans and shall conclude with a consensus on the plans that will be considered in the final array of alternatives

Feasibility Conference Number 2

- This conference shall mark the completion of the evaluation of the final array of plans
- The conference shall concentrate on the identification of policy issues for the Alternative Formulation Briefing (AFB)
- It shall conclude with a consensus that the evaluations are adequate to select a locally preferred plan and the NED plan

Alternative Formulation Briefing Feasibility Review Conference

To seek Washington level commitment to the project in order to minimize the potential for significant modification of the remaining studies and the final feasibility report recommendations after the report is submitted for Washington level review

Alternative Review Process

- Alternative Formulation Briefing
  - Limited pre-brief material, certified by the Chief, Planning
  - Submittal includes review documentation
  - Addresses policy issues
- Feasibility Review Conference
  - Draft report certified by the Chief, Planning
  - Submittal includes review documentation
  - FRC held concurrent with Public Review

District Engineer's Report

- Feasibility Report with EIS
- Engineering Appendix
- Real Estate Plan
- Compliance Memorandum
- Technical and Legal Review Certification
- Notification of PMP approval
- Followed by slides and fact sheet

Independent Technical Review Suggestions

Checklists and Areas of Emphasis

- EC 1165-2-203, Appendix B - Policy Compliance Review Considerations
- Internal Control Review Checklist (ER-1105-2-100)
- Consistency with the Principles and Guidelines
- Cost Apportionment when a locally preferred plan is proposed
- Review prior Conference Memos

Structure of Comments
(From CECW-A)

- A clear statement of the concern (information deficiency or incorrect application of policy or procedures)
- Basis of the concern (law, policy, guidance)
- Significance of the concern
- Specific actions needed to resolve the concern

Structure of Documentation

- The Review Team Comment
- The Study Team Response
- Discussion
- Action Required
- Action Taken
  - Editorial comments may be handled separately as a group
  - Discussion may lead to the revision of the comments as a method of resolution

Audit Recommendations

Recommendations

- Promote a Positive Philosophy for Receiving Comments
- Provide Training in Review, Developing Comments and Responding to Comments
- Conduct and Document the Seamless Review Process
- Reinstate the Supervisor's Review

Recommendations (Continued)

- Obtain Resolution of Policy Issues in a Timely Manner
- Raise Issues in the AFB Documentation
- Increase Staff Continuity
- Work to Better Include Other Agencies in the Planning Process
- Manage Schedules to Include Quality

The End